

DEPARTMENT STORES CLAIMS

9817 Freestate Place
Gaithersburg, Maryland 20879

METRO CARDS

25 February 2000

DRAFT - Do Not Enter

Commissioner of Patents and Trademarks
Washington, DC 20231

Dear Sir:

SUBJECT: Applicant- Neil C. Schoen
Serial Number- 09/296,864
Filing Date- 02/17/98

In response to the Examiner's Action of 01/28/2000, which was based on an incomplete CIP application due to an inadvertent misplacement of material in the applicant's file folder resulting from a delayed 1.53b petition and subsequent change of Examiners, the following actions are requested:

In the matter of the drawings (form PTO-948), it is requested that a request for formal drawing corrections continue to be held in abeyance until the allowable subject matter is determined.

With regard to the Examiner's objections, the following changes to the Claims, as properly included in the 18 February 1998 CIP application, are requested.

CLAIMS Changes

1. (thrice amended) A [technique] system to increase revenues paid to mass transit services organizations and ~~commercial products corporations~~ by addition of electronic lottery processes and operations, which collect

1

February 25, 2000

additional revenues from customers for said lottery operations, above and beyond those paid for normal services or products, [which includes] comprising:

- means for electronically identifying and redeeming customer invoicing media formats which contain modifications [comprising] which allow ^{provided for} additional wager and customer identification information for lottery operations, [such as] said invoicing media selected from the group consisting of: fare cards, tickets, credit cards and credit card bills to provide predetermined payouts to winning lottery customers;

- means to collect said additional revenues from customers of said lottery operations;

- means to ensure the security and integrity of said lottery processes and operations to prevent fraudulent use of invoicing media to obtain said payouts of lottery funds, and wherein;

said mass transit services organizations [include] consist of [a] metro-rail systems or similar mass transit systems, and said commercial products corporations consist of large consumer retail corporations, and said means to collect said additional revenues for said lottery operations and redeem said existing customer invoicing media [includes] are selected from the group comprising [of];

- [use of] using the "add-fare" feature on existing metro-rail fare card purchase machines with an additional ticket marking indicating a lottery purchase, which is activated by an additional lottery selection button incorporated into said fare card machine;

- redeeming lottery payouts using the "cash-back" feature on existing metro-rail fare card purchase machines adapted to detect said additional ticket marking indicating a lottery purchase, with fixed or programmed payouts by said adapted machine in the form of cash;

- redeeming lottery payouts using the "add-fare" feature on existing metro-rail fare card purchase machines adapted to detect said additional ticket marking indicating a lottery purchase, with fixed or programmed payouts by said adapted machine in the form of new fare cards, analogous to new fare cards produced in normal operation of the machine as a result of an "add-fare" action;

* - using existing cash registers in said commercial products corporations to add an additional marking to receipts indicating a lottery purchase;

* - redeeming lottery payouts using existing receipts mailed to said commercial products corporations or crediting accounts with said lottery payouts, and wherein;

said [technique] system as described herein represents an improvement over; [:]

-current government lottery systems, which do not directly support, or may not support at all, the services used by customers of the lottery;

- "give-aways" that provide additional free product or services to customers who redeem specially marked coupons distributed with products or services the customer purchases, which does not raise additional revenues but relies upon possible increased sales;

- "gaming transactions" that require customer betting associated with the purchase price of the products or services, which complicate the transaction process by requiring probabilistic methods to determine price or payout, random number generators, modifications to the purchase process hardware and software, and interactive decisions by the customer during a purchase or transaction, as opposed to a separate transaction and a predetermined payout linked to said customer invoice media as described herein;

-traditional gaming systems such as slot machines and lottery systems, which are not presently associated with or "targeted" at specific products or services that customers wish to support.

2. (cancel)

3. (twice amended) A system according to claim 1 wherein said commercial products corporations [consists of a] are large consumer retail [products] chains with cash register networks, [such as found in department store chains,] which employ [s] magnetic stripe/manual entry credit card order [entry] machines, adapted to accept additional lottery funds by recording said funds and marking said credit card receipts for further processing to determine total funds available for payout to operate said lottery processes.

3

February 25, 2000

4. (twice amended) A system according to claim 1 wherein said commercial products corporations operate [an Internet system, such as an on-line service or corporation with] a large Internet marketing service, which is adapted to accept additional lottery funds by marking said customer invoicing media with the value of said additional funds and an identification code of the customer, to operate said lottery processes, and wherein;

- [said] means for electronically identifying said additional lottery funds [include] consists of adaptation of said marketing system to add to the customer on-line bill the amount chosen for lottery processes, which is equivalent to use of the existing system for recording an additional purchase of merchandise, in this case the lottery option, [;] and;

- said means for redeeming said customer invoicing media [include;] consists of [use of] mailing said media to said Internet marketing service for possible payout, or [automatic] electronic crediting of said customer's account.

5. (twice amended) A system according to claim 1 wherein parking lots, theaters and sports arenas adapt their ticketing systems to write additional information on tickets identifying the amount of lottery funds added, in addition to a ticket identification number normally present on the ticket, which is necessary to operate said lottery processes, and where customer redemption techniques [include] comprise:

- use of a mailing system to collect tickets and distribute payouts;
- use of automated redemption machines, identical to slot machines, which electronically scan the information on said tickets and distribute a predetermined or programmed amount of cash.

6. (twice amended) A system according to claim 1 wherein said existing customer invoicing media formats are utilized without modification in said lottery processes by means of a separate, post-transaction collection system, to collect said additional lottery revenues from customers, [including] said post-transaction collection system selected from the group consisting of:

- for magnetic fare cards and electronic tickets, separate collection machines identical in operation to the normal existing transaction

machines, which record the lottery transaction on the used fare card or ticket and also provide a record for said provider organization or corporation to determine payouts for later redemption, with payback revenue determined by said service or product provider organization based on the knowledge of total lottery revenue collected, as marked on said magnetic fare cards and said electronic tickets, before selection of winning tickets and payout;

- for invoicing media not in electronic or magnetic format, collection of additional lottery revenues via customer mail-in of media with addresses and funds wagered, to allow service or product provider organizations to select winners and determine payouts;

- for magnetic fare cards and electronic tickets, separate collection machines, identical in operation to a slot machine, which accept said fare cards or tickets and customer lottery funds, and deliver a preset or programmed payout, determined by the service or product provider organization, either in cash or new fare cards or tickets.

7. (twice amended) A system according to claim 1 wherein machines for producing said customer invoicing media formats are [adapted] used for said lottery processes [, including:] by [-] adapting invoicing media fare card, ticket and billing machines to record on said media said additional lottery funds paid by said customers and a unique identification code, by adding additional information by electronically or magnetically recording or printing the amount of said additional lottery funds and a customer identification code on said invoicing media, said recording process identical in operation to that used to create the original fare card, ticket or bill.

8. (deleted) [A system according to claim 1 wherein said means to ensure the security and integrity of said lottery processes and operations includes;

- maintaining and following existing procedures developed by providers of said services and products to prevent fraudulent use of existing customer invoicing media to be used in said lottery processes and operations;

recording process identical in operation to that used to create the original fare card, ticket or bill. --

End CLAIMS Changes

SPECIFICATION Changes
(as part of the continuation-in-part process)

The following specification changes are submitted as part of the continuation-in-part request, and should be entered with the claims as modified above.

Page 5, Append after end:

Insert:

-- Fig. 5 shows two lottery configurations, one (top) using existing magnetic strip fare cards, and the other (bottom) using an electronic fare card ("go card") which allows more information to be stored and no mechanical handling of the fare cards within either the metro-rail purchasing or lottery machines.

Fig. 6 shows the software flow diagram which describes the software functions performed as a result of hardware operation of the machines in Figure 5. --

Page 7, Prior to last Paragraph:

Insert:

-- A specific implementation of the technology to support this lottery concept is provided as follows, using Figures 5-6, and is based on modifications of the Cubic Corporation Washington DC metro-rail fare card systems (both existing and next generation "go card" systems- reference: WMATA fare card machines built by the Cubic Corporation CTS Group, 5650 Kearny Mesa Road, San Diego, CA 92111). Additional data on similar systems have already been referenced earlier in the specification.

Figure 5. illustrates the hardware components comprising a complete lottery system, using the Washington DC metro-rail as an example. The upper portion of the figure covers a system based on the currently

installed magnetic strip fare card machines. An additional machine is shown to implement the lottery capability, which is placed at stations in locations near, but outside, the exit gates so that non-lottery passengers are not delayed in any manner. The fare card 15 recording magnetic media 17 structure 19 is shown on the left, with each line representing a region of magnetization different from the background. A group of lines, each representing a bit, forms a field that contains data from the machine that dispenses the fare card (see Figure 1.). When a passenger exits the metro-rail, he takes the fare card with remaining value to a lottery machine at the metro-rail station. He can insert the card in the reader 6 and additional money can be added via the bill/change slots 2, and the display/decrement buttons 4. The passenger then enters an identification number (e.g., social security number, phone number, etc.) and pushes the transaction-complete button 10. In a completely electronic system, the data is sent via a modem 9 to the system central computer via telephone lines 11, where the lottery payout can be computed for the revenues collected for the specified lottery period (day, week, etc.). A receipt is issued 7 for the passenger to keep as a record of his lottery wager. Of course, simpler systems can be employed, such as having the passenger mail in the fare card or receipt, eliminating the electronic identification step (he can just sign his name and address on the card/receipt).

Planned improvements in the DC metro-rail fare card system will make the lottery option easier, as shown in the bottom half of Figure 5. The new fare cards work as a miniature computer, as opposed to the "tape recorder" technology currently used. The fare card dispensing machine emits RF radiowaves via an antenna 40. This RF signal has a dual purpose; providing power to the electronics on the card, and transmitting data. The energy is received by an antenna on the card 48 and part of it is rectified and used as an energy source 42 to power operation of the card. In addition, there is communications encoding in the RF signal that carries the data to be stored in the card, via a modem 44, a central processing unit (CPU) 50 and a 4 kilobit (4K) memory 46 cache. The fare card just has to be swept past the antenna "button" 40 on the card entry machines, or station "turnstiles", to record data such as the card value, time of entry/exit from the metro-rail, and reduction in value on exit (i.e., fare paid for the ride). An identification number registered to the purchaser is

already on the fare card at the time of purchase by the passenger, and thus the fare selection machine does not "issue" a card, as in present systems.

The operation of the lottery machine, shown on the right in the figure, is similar to the previous description, except that the electronics communication to the central computer (9, 11) is already available to build into the lottery machine, since they are identical to those installed in the fare card machines 52. In addition, a lot more data storage capability exists on the "go card", and the passenger does not have to enter an identification number, since one has been assigned to his card and his identity/address has been obtained at card purchase time. The passenger simply enters his lottery wager amount via the functions on the lottery machine, and his "ticket" is electronically registered in the central computer. A receipt is optional, and can be provided to prevent fraud if the card is lost prior to wagering.

Figure 6 shows a software flow diagram for the lottery machine, which is driven by the machine hardware operations described above and shown in Figure 5. The software processing starts when the "transaction complete" button 10 is activated by the lottery player. A logic pulse triggered by the button is sensed by the standard I/O interrupt software in a CPU module inside the lottery machine, which initiates execution of the software programs. The fare/wager dollar amount is read by another I/O routine that transfers the binary fare value from local registers to CPU memory (similar process to reading data from a disk I/O drive in a desktop PC). A similar software routine places data from the identification registers (or from the card if a card reader 6 or "go card" option is employed) into the CPU memory. This data is then retrieved and loaded in a communications buffer built into the CPU-modem interface. Once data transfer is complete, the modem initiates a connection with the central fare system computer via telephone lines 11, as directed by the software program, and the data is routed to the central computer. After the communications transfer is completed, the same data is re-loaded into a printer 7 buffer, and an I/O routine makes the digital data available to the printer memory, whereupon A-to-D converters produce the analog signals to drive an inkjet-type printer (dot matrix class). This results in a printed

receipt which is ejected and is kept by the lottery player as a record of his wager.

For the "go card" system, the existing card data stays "all-digital", and thus no A-to-D converters are necessary for input of existing fare card value, but only for sensing and adding funds. Also, the "go card" has an identification number stored in it's memory, so no lottery player identification input is necessary. It is possible to include this entire process into the normal fare card machines, but this could slow down the system by causing "bottlenecks" at machines caused by passengers deciding how to wager. Tests would be necessary to determine if the money saved by using a single machine outweighed the inconvenience to passengers. --

SPECIFICATION Changes (submitted in 8/18/98 filing)

The following changes were requested in the correspondence dated 18 August 1997 and should be entered as part of the continuation-in-part process if they have not been previously entered.

Page 3, Paragraph #2, first line:

Delete after the phrase ".... is the selection and": "encoding of a random number sequence"

Insert: -- writing of an identification sequence --

Note: The insertion has a basis in the specification (pg. 3, line 22- "suitable code number" and pg. 6, line 16- "lottery number encoded" and in the claims- "means for electronically identifying and redeeming said customer invoicing media") and is thus not new material. The deletion is to drop a non-essential option (random number use) to further differentiate this invention over that of Rossides.

Page 3, Paragraph #2, third line:

Delete: "encoded random number"

Insert: -- identification sequence --

Note: See above Note.

Page 7, Line #15:

Delete: "A random code sequence"

Insert: -- An identification sequence --

Note: See above Note.

Page 6, Line #9:

Insert after the phrase "... costs are deducted.": -- All metro-rail machines have a cash return cup, not shown on the figures, to release cash to users as they decrease the amount of money to be credited to the fare card from the amount they inserted in cash, either as bills or coins. --

Note: A statement of fact about current art, supported in part by the "change arrows" (which allow the metro-rail user to have money returned to him/her from funds inserted) shown in Figure 1 and 2.

Page 6, Line #12:

Insert after the phrase "... by a slot 6" : -- , which also accepts cards for a process in which an existing fare card has money added to it --

Note: A statement of fact about current art (slot 6 not only ejects fare cards, but also accepts them for increasing the value of the card by returning a new card with additional fare revenue added).

Page 6, Line #15:

Delete: "cared"

Insert in it's place: -- card --

Note: Correction of a typographical error.

Page 3, prior to the last Paragraph:

Insert paragraph: -- Prior art in fare card and slot machines, which was relied upon, but is not essential to the novelty of the claims, is listed in the following references:

- Fare card machines for mass transit systems are described in the literature and patents of the Cubic Corporation Automatic Revenue Collection Group of San Diego, California:
PCT/US/92/08892 "Non Contact Fare Card"
#5612684 3/1997 Kelly "Mass Transit Inductive Data Communications System".

Other patents include:

- #3578124 5/1971 Flum "Automatic Fare Collecting System"
- #3935933 2/1976 Tanaka "Automatic Article Vending Machine"
- #4300042 11/1981 Oldenkamp "Magnetic Stripe Card Author"
- #4532416 7/1985 Bernstein "Transaction Terminal With Simplified Data Entry".

- Slot machine technology is described in the following documents, including those assigned to current manufacturers WMS Gaming Corporation and predecessor Bally Corporation:

- #5456465 10/1995 Durham "Method To Determine Payoffs In Reel-Type Slot Machines"
- #5205555 4/1993 Hamano "Electronic Gaming Machine"
- #4648600 3/1987 Olliges "Video slot Machine". --

Note: Prior art references are provided to establish current state-of-the-art as a basis for language and claims that describe adaptations. These references are not essential to the novelty of this invention, and thus should be acceptable material for inclusion into the specification. See also comments in the following section of this response (Item #1).

End SPECIFICATION Changes

The following supportive material was submitted in the 8/18/97 correspondence and is included for reference purposes to carry over into the continuation folder.

Item #1: With regard to the objection under 35 U.S.C. Para 112 of the specification, note that the Specification has been modified to include prior art references to a variety of lottery-type machines. The Applicant contends that the changes to existing lottery/gaming machines or current

- adapting existing procedures developed by providers of said services and products to include means for recording authentication markings or identification of lottery participants onto said existing customer invoicing media during the lottery option selection process, said recording process identical in operation to that used to create the original fare card, ticket or bill. |

End CLAIMS Changes

SPECIFICATION Changes (to the material in the CIP inserted on page 7)

The following specification changes are submitted to correct two minor typographical errors:

In the second paragraph inserted, in line 8 in the sentence starting "The fare card 15 recording magnetic media 17 structure 19 us shown":

Delete: the word "us"

Insert: the word -- is --.

At the end of the last sentence in the second paragraph inserted:

Delete: the word "care/receipt"

Insert: the word -- card/receipt --.

End SPECIFICATION Changes

The following supportive material is submitted to clearly indicate that agreement was reached with the prior Examiner, and to further reinforce the validity of that decision. First, however, the changes above are explained in relation to the objections noted in the first Office Action Summary, albeit most are a result of erroneously using an incorrect

version of the CIP application. The Item # corresponds to the Examiner's notation in the 01/28/2000 Office Action.

Item #1: Brief descriptions of Figures 5 and 6 have been previously submitted and entered, as indicated by the Examiner in the 2/23/2000 telephone conversation. Thus this objection no longer is valid.

Item #3: The six paragraphs inserted on Page 7, but overlooked in this first Office Action, provide the adequate disclosure of exactly how the metrorail farecard system is to be modified to provide a lottery feature. Thus this objection is no longer valid.

Item #4: The claims language has been modified to conform to more standard language. Phrases "such as", "including" have been deleted, and listing of several attributes now follow in acceptable language phrases such as "consisting of" and "comprising"

Item #5: The material inserted on Page 7, now in the hands of the Examiner, and as described in #3 above, eliminates this objection.

Item #7: The following changes, along with previously overlooked changes, overcomes the rejections identified in the Office Action:

- Claim 1 line 1; the word "system" replaces "technique", as requested in an earlier telephone conversation with the previous Examiner on 5/19/98, in which he indicated that he would issue a notice of allowance with this change (after all other objection were overcome previously by CIP changes)

- Claim 1 lines 1-2; the objected to phrase was deleted in the CIP amendments now in the Examiner's hands. Thus this rejection is no longer valid.

Claim 1 line 7; the phrase "such as" has been removed. Thus this rejection is no longer valid.

February 25, 2000

Claim 1 line 6-8; the conflicting objected to phrase on lines 9-10 "software means to select to be awarded" has been previously deleted. Thus this rejection is no longer valid.

Claim 3 line 2; the phrase "such as" has been deleted. Thus this rejection is no longer valid.

Claim 4 line 1; the phrase "such as" has been deleted. Thus this rejection is no longer valid.

Claim 4 lines 1-3; the objected to phrase has been previously deleted. Thus this rejection is no longer valid.

Claim 5 lines 1-2; the objected to phrase has been previously deleted. Thus this rejection is no longer valid.

Item #9: The supportive material included with the CIP amendments in the 2/18/98 submission, now in the Examiner's hands, provides justification for overcoming the ROSSIDES rejection under 102(e). The attached copy of the 2/12/98 interview with the previous Examiner indicates that the CIP changes were sufficient to overcome the objection. The ROSSIDES patents included in the recent CIP Office Action Summary are similar in nature, if not identical with respect to issues raised in my application (they are all continuations-in-part) to those cited by the previous Examiner. I have included the pertinent parts of the previous justification, and have included additional brief justification. I would be happy to discuss this material, should you disagree with the previous Examiner, now that you have the full record of the claims and specification changes.

"With regard to the rejection under 35 U.S.C. Para 102 (e), as being anticipated by the Rossides patent, note that the changes to the Claims and Specification language now differentiates this invention over that of Rossides. In particular, note the following changes and implications:

- The new claim 1 indicates clearly that the lottery function is a mechanism for generating additional funds, separate and above the normal transaction or purchase being made, as opposed to the Rossides system in which the purchase is coupled with a gaming activity designed to reduce the funds transferred between the customer and the service/product provider, as opposed to increasing the revenue to the service/product provider in this product.
- This invention does not rely on an EVPM or need a random number scheme, since the transaction and the lottery are two separate functions, and the service product provider is only concerned with net revenue increase from the lottery function, and is free to set that return based on his knowledge of lottery revenue collected, and does not need to modify the price of his product or service.
- The Rossides invention requires significant modification of existing purchasing systems, requiring random number generation systems, modified purchasing equipment and verification systems, whereas this invention can be executed with existing systems, for example, a mail-in technique, or with post-transaction machines; therefore it does not require the service/product provider organization to expend significant costs in replacing current purchasing systems/software.
- Even though Rossides mentions the D.C. metro system (which could have appeared after the filing date of this patent and could have been added as a result of leaking out of marketing efforts for this invention), his example still deals with a gaming situation tied up with exiting the metro, which requires modification of all the metro entrance/exit gates, requires an EVPM process and slows down the traffic capacity of the metro, and thus is not a separate transaction for a lottery function, and is not described as a revenue enhancer to the metro system (since the unused funds on fare cards can easily be utilized by the "add-fare" process or supplemented as an "exit-fare" process to make up the difference when exiting the metro and thus are not good candidates for generating additional revenue for the metro-rail system), as is claimed for this invention.
- With regard to claim 4, Rossides makes no mention of Internet-based systems, and the corporation's Internet system, as a means of making a purchase, can be modified, or used un-modified with a lottery option as an additional purchase, thereby not requiring changes to the Internet

interface or screen, other than the corporation selecting winners and sending them money, a separate operation if desired."

The Examiner should be aware of the following additional differentiation arguments:

- The essence of the Rossides patent is a straightforward gambling system, much like paramutual racetrack betting. The system requires wagering between vendor and purchaser, with modifications to existing straightforward transaction software and hardware necessary to allow the vendor to accept "bets" and to compute a rational basis for accepting or rejecting the bet (or selecting the odds for payoff). This Applicant's patent deals with lottery- and sweepstakes-type operations that provide revenue enhancements, and is configured so that there is no modification necessary to existing transaction equipment- the lottery/sweepstakes functions can be handled in post transaction hardware and software, if more timely payout is desired. Otherwise, it is not necessary for any modifications to existing equipment.

These two distinctions have significant impact in real-world applications. First, commercial corporation wagering systems as described by the Rossides patents are for the most part illegal in the United States, except perhaps for special state or local government operations and states where gambling is legal. Thus commercial applications of Rossides patent would not be legal, whereas sweepstakes/lottery-like activities described in this Application can be utilized by commercial entities. Second, systems with large numbers of participants, such as theaters, sports stadiums, and mass transit systems, are extremely congested and cannot tolerate delays caused by any lottery operations. Thus the Rossides patent would not allow an unimpeded operation of such system, even if it were adapted to a revenue enhancing mode as described in this Application.

With regard to the Examiner's comments at the end of Item #9 regarding Claim 4 and the phrase "corporation with a large Internet marketing service" and the sentence structure, note that the claim language has been modified to remove any ambiguity.

Item #10: With regard to the other patent cited by the Examiner, the only one remotely connected to this Application is the GOUSSIOS patent. However, note that this patent deals with a straight lottery- there is no revenue enhancement feature. There is no provision for passengers to wager funds. This Application describes an improvement to conventional lottery processes, and thus the reference cited by the Examiner is not grounds to be used to reject the current Application, it just describes prior art, which the Applicant has included in reference material inserted as part of the CIP application.

In summary, it is respectfully requested that the Examiner allow this patent to issue. The Applicant has gone to considerable expense, based on the indication of the previous Examiner that the patent would issue. This included a paid investigation by a reputable law firm of the legality of implementing systems proposed in the patent. Indeed, it appears that the primary initial target market for this patent will be state and local government activities which involve the public in a legal manner (mass transit, sports stadia funded by government bonds sold to the public, etc.). A briefing was provided to the Washington metrorail management as well, and considerable time was spent with a local corporation to provide hardware manufacturing capabilities for any subsequent embodiment of the patented technologies. Copies of these documents are provided for the Examiner to include in the file folder as supporting evidence of the validity and market options for this invention, and to provide whatever additional differentiation over prior art that can be gleaned from such documents.

Sincerely yours,

DRAFT - Do Not Enter

Neil C. Schocn, Ph.D.

Best Novel (424 nominating ballots)

- ___ **The Algebrat** by Iain M. Banks (Orbit)
- ___ **Iron Council** by China Miéville (Del Rey; Macmillan)
- ___ **Iron Sunrise** by Charles Stross (Ace)
- ___ **Jonathan Strange & Mr Norrell** by Susanna Clarke (Bloomsbury)
- ___ **River of Gods** by Ian McDonald (Simon & Schuster)
- ___ **No Award**

Best Novella (249 nominating ballots)

- ___ **"The Concrete Jungle"** by Charles Stross (*The Atrocity Archives*, Golden Gryphon Press)
- ___ **"Elector"** by Charles Stross (*Asimov's* 09/04)
- ___ **"Sergeant Chip"** by Bradley Denton (*Fantasy & Science Fiction* 09/04)
- ___ **"Time Ablaze"** by Michael A. Burstein (*Analog* 06/04)
- ___ **"Winterfair Gifts"** by Lois McMaster Bujold (*Irresistible Forces* NAL)
- ___ **No Award**

Best Novelette (215 nominating ballots)

- ___ **"Biographical Notes to 'A Discourse on the Nature of Causality, with Air-Planes' by Benjamin Rosenbaum"** by Benjamin Rosenbaum (*All-Star Zeppelin Adventure Stories* Wheatland)
- ___ **"The Clapping Hands of God"** by Michael F. Flynn (*Analog* 07-08/04)
- ___ **"The Faery Handbag"** by Kelly Link (*The Faery Reel* Viking)
- ___ **"The People of Sand and Slag"** by Paolo Bacigalupi (*Fantasy & Science Fiction* 02/04)
- ___ **"The Voluntary State"** by Christopher Rowe (*Sci Fiction*, scifi.com 5/5/04)
- ___ **No Award**

Best Short Story (269 nominating ballots)

- ___ **"The Best Christmas Ever"** by James Patrick Kelly (*Sci Fiction*, scifi.com 5/26/04)
- ___ **"Decisions"** by Michael A. Burstein (*Analog* 01-02/04)
- ___ **"A Princess of Earth"** by Mike Resnick (*Asimov's* 12/04)
- ___ **"Shed Skin"** by Robert J. Sawyer (*Analog* 01-02/04)
- ___ **"Travels with My Cats"** by Mike Resnick (*Asimov's* 02/04)
- ___ **No Award**

Best Related Book (263 nominating ballots)

- ___ **The Best of Xero** by Pat and Dick Lupoff (Tachyon Publications)
- ___ **The Cambridge Companion to Science Fiction** ed. by Edward James and Farah Mendlesohn (Cambridge University Press)
- ___ **Dancing Naked: The Unexpurgated William Tenn, Volume 3** by William Tenn (NESFA Press)
- ___ **Futures: 50 Years in Space: The Challenge of the Stars** by David A. Hardy and Patrick Moore (AAPPL; Harper Design International)
- ___ **With Stars in My Eyes: My Adventures in British Fandom** by Peter Weston (NESFA Press)
- ___ **No Award**

Best Dramatic Presentation - Long Form (340 nom. ballots)

- ___ **Eternal Sunshine of the Spotless Mind** (Focus Features) Story by Charlie Kaufman & Michael Gondry & Pierre Bismuth; Screenplay by Charlie Kaufman; Directed by Michael Gondry.
- ___ **Harry Potter and the Prisoner of Azkaban** (Warner Brothers) Written by Steve Kloves; Based on the novel by J.K. Rowling; Directed by Alfonso Cuarón.
- ___ **The Incredibles** (Walt Disney Pictures / Pixar Animation Studios) Written & Directed by Brad Bird
- ___ **Sky Captain and The World of Tomorrow** (Paramount Pictures) Written & Directed by Kerry Conran
- ___ **Spider-Man 2** (Sony Pictures Entertainment / Columbia Pictures) Screen Story by Alfred Gough & Miles Millar and Michael Chabon; Screenplay by Alvin Sargent; Based on the comic book by Stan Lee & Steve Ditko; Directed by Sam Raimi
- ___ **No Award**

Best Dramatic Presentation - Short Form (161 nom. ballots)

- ___ **Heroes Part 1 & 2 - Stargate SG-1** (MGM Television / The Sci Fi Channel) Written by Robert C. Cooper; Directed by Andy Mikita
- ___ **Not Fade Away - Angel** (20th Century Fox Television / Mutant Enemy) Written by Jeffrey Bell & Joss Whedon; Directed by Jeffrey Bell
- ___ **Pilot Episode - Lost** (Touchstone Television / Bad Robot) Story by Jeffrey Lieber and J.J. Abrams & Damon Lindelof; Teleplay by J.J. Abrams & Damon Lindelof; Directed by: J.J. Abrams
- ___ **Smile Time - Angel** (20th Century Fox Television / Mutant Enemy) Story by Joss Whedon & Ben Edlund; Teleplay by Ben Edlund; Directed by Ben Edlund
- ___ **33 - Battlestar Galactica** (NBC Universal Television / The Sci Fi Channel) Written by Ronald D. Moore; Directed by Michael Rymer
- ___ **No Award**